

EPA GRANT SPECIAL APPROPRIATIONS ACT
KENTUCKY FEDERALLY ASSISTED WASTEWATER REVOLVING FUND
PLANS AND SPECIFICATIONS REVIEW CHECKLIST

Grant No./Grantee or

Loan No./Loan Recipient: _____

Contract I.D./Name: _____

Design Firm _____

The information provided is accurate for the above referenced contract to the best of my knowledge and belief.

Design Engineer _____

Signature _____

Date _____

Please submit three copies of the plans and specifications at this time to the Division of Water. These plans and specifications must be sealed, signed and dated by a Professional Engineer. The EPA grant and/or KIA loan number should be included if known. When approved, the Division of Water will submit a copy of the state-stamped plans and specifications to the following to the Grantee or Loan Recipient and the Design Consultant.

NOTE: When the project is advertised, a set of as-bid plans and specifications and a copy of the advertisement must be submitted to the Division of Water immediately.

Questions marked with (DOW) are to be completed or verified by the Division of Water Engineer.

I have reviewed the information provided by the design engineer, verified the accuracy, and completed the (DOW) questions.

(DOW) Review Engineer _____

Signature _____

Date _____

NOTE TO DOW ENGINEERS:

Send a copy of the “**Areas of Work – Minority and Women Businesses**” (pages 09-11) responses to the Project Administration Section Supervisor.

**EPA SPECIAL APPROPRIATION GRANT
AND/OR KIA LOAN PROJECT
PLANS AND SPECIFICATIONS REVIEW**

Projected Sources of Funds

Source	Amount
_____	_____
_____	_____
_____	_____

Contract Period, Number of Days _____

Estimated Construction Amount(s) \$ _____

EPA Grant/KIA Loan Eligible \$ _____

EPA Grant/KIA Loan Non-eligible \$ _____

Description of proposed project in terms of type of treatment, flow capacity, and process unit:

Does the eligible portion include?

Yes No N/A

- | | | | |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Collector sewers: Is more than 50% of the expected flow from a community constructed prior to October 18, 1972? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Property service lines: Are they limited to the "Tee or Wye" and the service line needed to reach the property line? (Loan funds only) |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Demolition: Is it limited to that required for new construction? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Replacement of existing utilities: Is no "betterment" proposed? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Paving: Is it limited to the trench width and cutbacks? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Sewer cleaning machines: Has justification been provided? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Sewer line inspection television equipment: Has justification been provided? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Standby generators: Has justification been provided? |

The following items are considered ineligible for EPA grant and KIA loan projects. Are any of these included in the specifications?

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Bonus payments?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Immediately available hand tools?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mowers, snow blowers, trimmers?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Replacement of facilities previously funded by EPA which are still within the useful life unless abandonment has been approved by EPA? (grant only)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Redundant facilities (unless required by state or federal reliability requirements)?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Routine maintenance items (oil, grease, filters, etc.)?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Utility vehicles/golf carts?

List all EPA grant and KIA loan ineligible items in the project.

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(DOW) Does DOW review engineer concur with the description of EPA grant and KIA loan ineligible items?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(DOW) Are the plans and specifications sealed, signed and dated by a professional engineer?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. (DOW) Will shellfish be impacted by this project?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. (DOW) Does the WWTP discharge to a blue line stream or are easements provided to a blue line stream?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. (DOW) Is the discharge from the WWTP within five miles upstream of a water plant intake?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. Does this design meet the 401 KAR 5:005, Section 13 reliability requirements?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. Has the design engineer provided the demonstration of how the design meets the reliability requirements? This shall include calculations, which indicate that the permit limits can be met with the largest unit of each process out of service during times of anticipated cleaning and repair.

Clearinghouse Comments

<u>Yes</u>	<u>No</u>	<u>N/A</u>		<u>Grantee has:</u>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1.	Obtained Kentucky Department of Transportation encroachment permits?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2.	Obtained determination from Kentucky Department for Labor that state labor laws are applicable, and if applicable, state wage rates and regulations are included in the specifications?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3.	If state labor laws apply, do specifications indicate overtime pay is required for work in excess of an 8-hour day?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4.	If sludge is to be disposed of in a landfill, has a letter of intent been provided by the landfill operator?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5.	If sludge is to be land farmed, has Division of Waste Management approved the proposed site? (Note: Submit copy of approval letter.)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6.	If land farming is proposed, does WWTP include a process to significantly reduce pathogens (PSRP)?

GENERAL INFORMATION

<u>Yes</u>	<u>No</u>	<u>N/A</u>		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1.	Are permits to construct required from other Federal or State Agencies? If yes, indicate which Agencies. _____ _____
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2.	Have the required permits been given? Provide the DOW with copies.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3.	If the project includes work, which will cumulatively disturb more than 200 linear feet of a blue line stream as, shown on a USGS 7.5 min. topographic map, has an application for 401 certification been submitted to the DOW Water Quality Branch?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4.	If the project involves construction within a floodplain, including stream crossings, has an application for the appropriate permits been submitted to the DOW Floodplain Management Section?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5.	If the loan recipient has requested to buy equipment and be exempt from sales tax, are the specifications written to accommodate this?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6.	Does this project eliminate any existing wastewater treatment plants? (If yes, DOW engineer will notify KPDES Branch by memorandum.)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7.	(DOW) Is the scope of the EPA/KIA project identified in the plans and specifications consistent with the Finding of No Significant Impact Report (FNSI) or in the EID?

- | | | | | |
|--------------------------|--------------------------|--------------------------|-----|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 8. | Is rehabilitation of the sewer system required by the FNSI or EID? If yes, have the following documents been submitted and approved. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | a. | I/I Report |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | b. | SSES Report |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | c. | Rehabilitation Plans and Specifications |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 9. | (DOW) Have all required easements been obtained? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 10. | (DOW) Have site certificates been received? (Clear Certificates are required before initiating construction.) |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 11. | If this project is a result of a DOW enforcement action, have all mandated construction related activities been addressed in the scope of work for this project? Notify the DOW Enforcement Branch. |

ENVIRONMENTAL CONSIDERATIONS

- | <u>Yes</u> | <u>No</u> | <u>N/A</u> | | |
|--------------------------|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. | Is the proposed wastewater treatment plant located within 200 feet of any present or future residence? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. | Has an Environmental Impact Statement (EIS) been written on this project? NOTE: Not Environmental Assessment. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. | (DOW) If answer to No. 2 is yes, have all recommendations of the EIS been followed? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 4. | Have provisions have been made to prevent bypassing during construction? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 5. | (DOW) If by-pass is proposed, have we coordinated with DOW Regional Office or EPA Facilities Performance Branch, whichever is applicable? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 6. | (DOW) If the project includes an increase in WWTP capacity, modifications due to a change in effluent limits, or relocation of the discharge point has a construction permit application and a KPDES permit application been submitted?
Construction Permit Date _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7. | If a construction permit is not necessary, has an application for permit been submitted for the letter of approval to construct?
SLE Approval Date _____ |

PROPOSAL

YES NO N/A

(DOW)

- | | | | | |
|--------------------------|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. | Have EPA/KIA eligible and ineligible items been separated? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. | Time of completion _____ days. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. | If the contract, allows for substitution of equipment; has deductible alternates; or has bid alternates, is the method for determining the low bidder clearly indicated? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 4. | Has a base bid and any alternatives been specified? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 5. | Are there any special conditions on evaluating lump sum contract? |

SPECIFICATIONS AND CONTRACT DOCUMENTS

If all the standard contract documents are included in the specifications, EPA administrative requirements do not need to be checked separately.

GENERAL

- | | | | |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Have the specifications been prepared in accordance with Section 204 (a) (6) of P.L. 9-500? *(Listing of one brand name followed by or equal). |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | (DOW) Have the technical specifications been written to assure the maximum competition?
a. No unjustified experience clause.
b. Use of brand name or equal. |

***NOTE: (DOW) column in this Section is for the review engineer verification.**

INVITATION TO BID OR ADVERTISEMENT

- | *(DOW) | Section | Page | |
|--------------------------|----------------|-------------|--|
| <input type="checkbox"/> | _____ | _____ | 1. Time and place of Bid Opening. |
| <input type="checkbox"/> | _____ | _____ | 2. Where plans and specs may be obtained. |
| <input type="checkbox"/> | _____ | _____ | 3. Work to be performed*. |
| <input type="checkbox"/> | _____ | _____ | 4. A statement that this procurement will be subject to regulations contained in 40 CFR Part 31.36 or with DOW Procurement Guidance with the exception of the Davis-Bacon Act.

Note: The Davis-Bacon Act does apply to this loan or grant. |
| <input type="checkbox"/> | _____ | _____ | 5. A statement bidders must comply with Title VI of the Civil Rights Act of 1964, the Anti-Kickback Act, and the Contract Work Hours Standard Act and 40 CFR 31.36 L(3, 4 & 6). |

- | | | | | |
|--------------------------|-------|-------|-----|---|
| <input type="checkbox"/> | _____ | _____ | 6. | A statement that bidders must comply with the President's Executive Order No. 11246 as amended, which prohibits discrimination in employment regarding race, creed, color, sex or national origin. |
| <input type="checkbox"/> | _____ | _____ | 7. | This project will be in compliance with Executive Order 11246 (Equal Employment Opportunity) as amended. |
| <input type="checkbox"/> | _____ | _____ | 8. | A statement that the Contractor/Subcontractor will comply with 41 CFR 60-4, in regard to affirmative action, to insure equal opportunity to females and minorities and will apply the time tables and goal set forth in 41 CFR 60-4 if applicable to the area of the project. |
| <input type="checkbox"/> | _____ | _____ | 9. | A statement that the bidder will make positive efforts to use small, minority, women owned and disadvantaged businesses. |
| <input type="checkbox"/> | _____ | _____ | 10. | A statement that the award will be made to the lowest, responsive, responsible bidder. |

INSTRUCTIONS TO BIDDERS, GENERAL AND SPECIAL CONDITIONS

Note: this section is to be completed by the consultant and verified by the DOW review engineer.

- | *(DOW) | Section | Page | | |
|--------------------------|---------|-------|----|---|
| <input type="checkbox"/> | _____ | _____ | 1. | Bid Bond Requirements (5% for Contracts over \$100,000). |
| <input type="checkbox"/> | _____ | _____ | 2. | 100% Performance Bond and 100% Payment Bond for contracts over \$100,000. Single Payment and Performance Bonds may be used for contracts under \$100,000. Performance Bond must be valid for one year beyond date of acceptance of the completed project. |
| <input type="checkbox"/> | _____ | _____ | 3. | Method of Award (to the low responsive, responsible bidder unless all bids are rejected). Refer to 40 CFR 31.36(d). All bids shall not be rejected without proper justification. (Attachment No. 12) |
| <input type="checkbox"/> | _____ | _____ | 4. | Basis for determining responsiveness and responsibility of low bidder. |
| <input type="checkbox"/> | _____ | _____ | 5. | Contract Time _____ day |
| <input type="checkbox"/> | _____ | _____ | 6. | Liquidated Damages _____ dollars per day. |
| <input type="checkbox"/> | _____ | _____ | 7. | Criteria that is used to evaluate proposed "equal" products. |
| <input type="checkbox"/> | _____ | _____ | 8. | Workmen's Compensation Insurance. |
| <input type="checkbox"/> | _____ | _____ | 9. | Compliance with Title VI of the Civil Rights Act of 1964, the |

Anti-Kickback Act and the contract Work Hours Standards Act. **NOTE: Davis-Bacon Act does apply to this grant or loan.**

- | | | | |
|--------------------------|-------|-------|---|
| <input type="checkbox"/> | _____ | _____ | 10. Public Liability Insurance. |
| <input type="checkbox"/> | _____ | _____ | 11. Fire and extended coverage insurance (Builders Risk). |
| <input type="checkbox"/> | _____ | _____ | 12. A statement in regard to minimizing siltation and soil erosion during construction. |
| <input type="checkbox"/> | _____ | _____ | 13. Reasonable care shall be taken during construction to avoid damage to vegetation. Ornamental shrubbery and tree branches shall be temporarily tied back, where appropriate, to minimize damage. Trees which receive damage to branches shall be trimmed of those branches to improve the appearance of the tree. Tree trunks receiving damage from equipment shall be treated with a tree dressing. |
| <input type="checkbox"/> | _____ | _____ | 14. A statement that no wastewater bypassing will occur during construction unless a schedule has been approved by the State and/or by EPA/NEPA permit if required. |
| <input type="checkbox"/> | _____ | _____ | 15. Compliance with OSHA (P.L. 91-596) and the Contract Work Hours and Safety Standards Act (P.L. 91-54). |
| <input type="checkbox"/> | _____ | _____ | 16. A statement that change orders to the construction contract (if required) must be negotiated pursuant to 40 CFR 31.36(f)(1) and/or with DOW/KIA Procurement Guidance for Construction and Equipment Contracts. |
| <input type="checkbox"/> | _____ | _____ | 17. Provisions for timely periodic payments and for limiting retainage (40 CFR 31.36). |
| <input type="checkbox"/> | _____ | _____ | 18. Provision to obtain a Section 404 permit from the Corps of Engineers, if applicable. |

SUPPLEMENTAL GENERAL CONDITIONS

Have the Supplemental General Conditions (**April 23, 2009**) been included in the specifications? _____.

(DOW Engineer, copy Pages 12, 13 and 14 and give to Project Administration Section Supervisor)

Note: the consultant must complete this section for each contract. If not applicable complete were appropriate and explain

AREAS OF WORK - MINORITY AND WOMEN BUSINESSES

Grant No./Grantee:	_____
Project Name:	_____
Contact Person:	_____
Address:	_____ _____ _____
Phone No:	_____
Consultant:	_____
Contact Person:	_____
Address:	_____ _____ _____
Phone No.:	_____
Contract No./Type:	_____
Estimated Bid Date:	_____

This contract will include the following work:

<u>General Construction</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Backhoe	<input type="checkbox"/>	_____
Concrete Construction	<input type="checkbox"/>	_____
Concrete Finishers	<input type="checkbox"/>	_____
Demolition	<input type="checkbox"/>	_____
Excavating	<input type="checkbox"/>	_____
General Construction	<input type="checkbox"/>	_____
Material Haulers	<input type="checkbox"/>	_____
Seeding	<input type="checkbox"/>	_____
Laying Sod	<input type="checkbox"/>	_____
Surveyors	<input type="checkbox"/>	_____

<u>Building Construction</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Drywall	<input type="checkbox"/>	_____
Electrical Contractors	<input type="checkbox"/>	_____
Flooring	<input type="checkbox"/>	_____
HVAC	<input type="checkbox"/>	_____
Insulation	<input type="checkbox"/>	_____

<u>Building Construction (cont)</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Landscaping	<input type="checkbox"/>	_____
Masonry	<input type="checkbox"/>	_____
Painting Contractors	<input type="checkbox"/>	_____
Plaster	<input type="checkbox"/>	_____
Plumbing	<input type="checkbox"/>	_____
Roofing	<input type="checkbox"/>	_____
Sandblasting	<input type="checkbox"/>	_____
Sprinkler System Installation	<input type="checkbox"/>	_____
Wiring	<input type="checkbox"/>	_____

<u>Roadway Construction</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Asphalt Removal	<input type="checkbox"/>	_____
Guardrail Work	<input type="checkbox"/>	_____
Roadway and Right-of-Way Work	<input type="checkbox"/>	_____

<u>Sewer Construction</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Pipe Fabrication	<input type="checkbox"/>	_____
PVC Sewer Pipe Supplier	<input type="checkbox"/>	_____
Storm and Sewer Line Work	<input type="checkbox"/>	_____

<u>Specialized Construction</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Asbestos Removal	<input type="checkbox"/>	_____
Installation of Alarm Systems	<input type="checkbox"/>	_____
Safety Equipment Installation	<input type="checkbox"/>	_____
Steel Erecting and Tiering	<input type="checkbox"/>	_____

<u>Supplier</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Construction Equipment Sales	<input type="checkbox"/>	_____
Glass Suppliers and Glazing	<input type="checkbox"/>	_____
Industrial Chemical Suppliers	<input type="checkbox"/>	_____

<u>Supplier (Con't)</u>	<u>Check if Included</u>	<u>Estimated Cost</u>
Industrial Equipment Suppliers	<input type="checkbox"/>	_____
Manufacturer - canopies, aluminum windows, and aluminum handrails	<input type="checkbox"/>	_____
Plumbing Suppliers	<input type="checkbox"/>	_____
Sheet Metal Manufacturer	<input type="checkbox"/>	_____
Steel Fabrication	<input type="checkbox"/>	_____
Steel Supplier	<input type="checkbox"/>	_____
Trucking	<input type="checkbox"/>	_____
Water Treatment Chemicals and Equipment	<input type="checkbox"/>	_____
Window Replacements	<input type="checkbox"/>	_____

- Given the nature of the scope of work of this contract, is a MBE/WBE participation of 3 and 5 percent achievable?
☐ Yes ☐ No
- A copy of the as-bid plans and specifications shall be provided to the following:

KPAP
 Community Development Office
 Cabinet for Economic Development
 Capital Plaza Tower
 Frankfort, Kentucky 40601

Office of Business & Occupational Development
 Arthur McKee, Director
 Department of Transportation
 200 Mero Street
 Frankfort, Kentucky. 40622

Minority Economic Development Initiative *
 Hopkinsville-Christian County Economic Development Council
 2800 Ft. Campbell Blvd.
 Hopkinsville, Kentucky 42240
 Attn: Henry Snorton, Director

*For Projects West of Elizabethtown